

September 2, 1997

Dear Colleague:

I am pleased to send you the applications guidelines package for the FY 1998 competition for grant support under the Development Education Program administered by the U.S. Agency for International Development (USAID). The guidelines describe the focus, eligibility requirements, theme and selection process for the program; the application format provides specific instructions on how to write your application. I urge you to review them carefully.

In view of funding constraints for development education in FY 1998, the Agency will focus its limited financial resources on strategic partnerships that will a) leverage as much additional financial and programmatic support for development education as possible and b) have the potential to demonstrate project impact definitively. Only those applications which meet the criteria outlined in the attached guidelines and which adhere to the application format will be considered competitive.

Given the limited funding we expect to have available, BHR/PVC anticipates making a small number of awards in FY 1998 in the \$100,000 range.

The deadline for receipt of applications -- including the required letter of commitment from each applicant's partner organization(s) -- is the close of business on Monday, December 8, 1997. If you have questions or concerns regarding this Request for Application, please call Susan Saragi at 703-351-0244 or Lisa Douglas at 703-741-0566.

Thank you for your interest in USAID's Development Education Program. We look forward to receiving many fine, innovative proposals this year.

Sincerely,

John P. Grant
Director
Office of Private and Voluntary
Cooperation
Bureau for Humanitarian Response

Enclosures

1. 1998 Program Guidelines
2. 1998 Application Format
3. SF 424
4. Certificate Regarding Lobbying
5. Certificate of Compliance

AGENCY FOR INTERNATIONAL DEVELOPMENT
GUIDELINES FOR THE DEVELOPMENT EDUCATION PROGRAM
FISCAL YEAR 1998

BACKGROUND: OVERVIEW OF BHR/PVC'S STRATEGIC PLAN

**STRATEGY OVERVIEW OF THE OFFICE OF PRIVATE AND VOLUNTARY
COOPERATION**

USAID's Office of Private and Voluntary Cooperation (BHR/PVC) is the focal point for the Agency's partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). BHR/PVC's competitive grants programs provide direct support to the U.S. PVOs and their local partners to address critical needs in developing countries and emerging democracies. These programs include: Matching Grants, Child Survival Grants, Cooperative Development grants, the Farmer-to-Farmer Program, the Development Education Program, and Ocean Freight Reimbursement. BHR/PVC is responsible for registering U.S. PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs. The Office is also a key participant in the development of Agency policies and procedures that affect these U.S. organizations.

Each USAID operating unit is guided by its own Strategic Plan that in turn contributes to the Agency's Sustainable Development Goals. BHR/PVC's Strategic Plan outlines its program directions and provides a framework for all the grant programs funded and administered by the Office. It articulates the specific objectives, strategic approaches and performance measures that will guide the Office's work through the year 2002. PVC's Strategic Plan was developed through a collaborative consultation process involving all PVC staff members, selected representatives from other USAID offices, and many of PVC's partners in the PVO community.

PVC's Strategic Objective (SO) is to "increase the capability of PVC's PVO partners to achieve sustainable service delivery." This SO builds upon PVC's expertise and historical experience working with U.S. PVOs and CDOs, and reflects its primary mission of strengthening the technical and managerial capacity of these partners to successfully contribute to international development. PVC is uniquely positioned within USAID to build institutional capacity. Over the years, PVC's grants have helped many organizations strengthen their institutional capacities and improve their ability to implement operational programs that USAID and other donors' support.

PVC's SO promotes three distinct elements -- capacity-building, service delivery, and sustainability -- all of which are critical for ensuring the significant impact of the work of PVOs on international development problems. The SO reflects PVC's commitment that

improvement in capability will result in tangible improvements in services to people in developing countries and that the benefits of the PVO programs will be sustained over the long term.

Achievement of PVC's SO will lead to its goal of achieving sustainable development in priority sectors in which USAID is focusing its efforts: Economic Growth; Population and Human Health; Environment; Democracy; Basic Education and Training; and Crisis Avoidance, Mitigation and Relief. PVC's Strategic Plan recognizes that the capacity of PVOs to partner effectively with local organizations will achieve another important outcome: NGO and other local partners strengthened. The Office has incorporated this critical, complementary objective in its plan as a Sub-Goal.

As the objectives of PVC's Strategic Plan indicate, the Office views capacity building within the institutions it supports, not as an end in itself, but as a means of ensuring that its grant programs result in goods and services provided on a sustainable basis to the people of the countries that USAID assists. The wording of its SO emphasizes the "achievement of sustainable service delivery." This reflects the fact that some of PVC's partners still deliver goods and services directly, while others are instead focusing their efforts on the development of strong local capacity for providing these services. Both types of programs contribute to the achievement of PVC's Strategic Objective.

To achieve its Strategic Objective, PVC has identified five Intermediate Results (IRs) that cut across all of the grants programs supported by PVC:

- Operational and Technical Capacity of U.S. Improved**
- Strengthened Partnership between USAID and U.S. PVOs**
- Strengthened U.S. PVO and NGO Partnership**
- Improved Mobilization of Resources by PVC's PVO Partners**
- U.S. Public Awareness Raised**

Given the importance of these results to PVC's Strategic Plan, all applicants this year are asked to address the question of how their proposed program will contribute to PVC's Strategic Objective and these five intermediate results.

This year's program places special emphasis on strengthening partnerships between U.S. PVOs and local NGOs and other local groups, to build their capacity as effective development organizations. A second key area of emphasis is the adoption of creative approaches to resource mobilization and other strategies to promote long term financial sustainability. A third critical priority is a focus on achieving tangible and demonstrable results and effective performance monitoring.

PVC has selected a set of performance indicators to measure progress toward each of its key objectives (IRs and SO). The Office is in the process of collecting baseline data and establishing targets for each of the performance indicators. Progress toward PVC's targets are reported to the Agency on an annual basis.

Copies of PVC's Strategic Plan are available at this year's RFA Workshop and through the PVC office.

This RFA has been developed to assist the applicant in designing a cohesive project, and to ensure maximum impact in the one-year project time frame. Applicants must respond to all the questions in the Application Format; a review committee will review all applications and assign scores based on how well applicants provide the information requested in each section.

I. APPLICATION SUBMISSION

To facilitate an equitable review of the applications, all requests for funding under the USAID Development Education Program must be made in accordance with the attached application format. The original must be "photo-ready," i.e., printed on one side only and unbound. The body of the proposal (Parts I through VI) should not exceed 15 pages; the font size must not be smaller than 10 cpi or 12 point font.

One original and seven (7) copies of each application, as well as a 3.5 inch computer diskette in WordPerfect 5.2 containing your full application, must be submitted to USAID as follows:

By Mail, Courier or Express Delivery:

Development Education Program
USAID (BHR/PVC)
Ronald Reagan Building
1300 Pennsylvania Avenue, N.W., 7th Floor
Washington, D.C. 20523

II. USAID CONTACT

Any questions concerning these guidelines, or the Development Education Program in general, should be referred to Susan Saragi, telephone 703-351-0244 or Lisa Douglas 703-741-0566. Written inquiries may be directed to the above address or faxed to USAID Development Education Program, 703-741-0567.

III. DEVELOPMENT EDUCATION PROGRAM PURPOSE

The Biden-Pell Development Education Program administered by PVC is a public/private initiative designed to foster interest in, and awareness of, international development among U.S.

citizens. The program supports activities by private, not-for-profit organizations to educate **large segments of the American public** about U.S. humanitarian relief and development programs overseas and to build understanding for these programs. Program audiences may not include overseas audiences.

IV. PROGRAM AUTHORITY

Program grants are made pursuant to the authority in Sec. 316 of the International Security and Development Cooperation Act of 1980 and the Foreign Assistance Act of 1961, as amended. USAID grants will be made subject to the availability of funds. This request for applications in no way obligates USAID to award a grant, nor does it commit USAID to pay any costs incurred in the preparation and submission of an application. USAID reserves the right to fund any or none of the applications submitted.

V. RELATIONSHIP OF THE DEVELOPMENT EDUCATION PROGRAM TO PVC's STRATEGIC PLAN

The development hypothesis embodied in PVC's Strategic Plan is that the capability of PVOs and their partners to achieve sustained service delivery is strengthened by better management systems and technical know-how, a strong working partnership with USAID, an equally strong partnership with their local partners, adequate financial resources mobilized by leveraging the grants they receive from USAID, and **U.S. public awareness of international development**. The Development Education Program contributes to PVC's strategic objective by helping to build this public awareness.

VI. PROGRAM GOALS

Applications for funding through the USAID Development Education Program must be designed and implemented to serve the following program goals:

- Create an atmosphere of national understanding and interest in public and private international development efforts;
- Examine local-global links and communicate how U.S. public and private international development efforts are in U.S. national interests; and
- Use scarce program resources to leverage maximum educational impact through partnerships that reach new audiences for development education nationwide.

VII. PROGRAM FOCUS

For the 1998 competition, USAID will support strategic partnerships that will: a) leverage as much additional financial and programmatic support for development education as possible; and b) have the potential to demonstrate program impact definitively. As a result of financial constraints, the 1998 program is expected to be highly competitive. Awards will be made for projects lasting one year only, and applicants must present an implementation timeline in which all activities funded under the award occur from September 1, 1998 - August 31, 1999. Given the limited funding we expect to have available, BHR/PVC anticipates making a small number of awards in the \$100,000 range.

Consistent with the program's strategy to leverage the maximum amount of resources for development education, preference will be given to those applications proposing the highest match, either in cash or in kind. The cash or in-kind match may be provided by the applicant and/or partner. The value of any in-kind match (e.g., placement of monthly article on project issues in the partner's national newsletter; value of volunteer time; air-time for monthly cable television program on project issues, etc.) must be fully explained in the budget narrative. Other funds received from the U.S. Government will not be considered allowable elements of the match.

VIII. ELIGIBILITY REQUIREMENTS

1. Eligibility for grant support in 1998 will be limited to programs proposed by U.S.-based registered PVOs, cooperatives, or other non-profit organizations actively engaged in sustainable development assistance or development education.
2. Applicants must propose national development education projects to be implemented by the applicant and a partner organization that is a U.S.-based, national membership or trade association. For the purpose of this Request for Applications (RFA), a "partner" is defined as a collaborating organization. Such partner organizations must possess natural links, through professional affiliations or a membership base other than donors, to large segments of the U.S. public; a demonstrated interest in international development or foreign affairs; and an existing, effective communication network capable of delivering lucid, concise educational messages. The partner organization must also have the potential for involvement in international development at some level. The partnership may entail a sub-grantee relationship to carry out program activities (e.g., to survey association membership on their understanding of development, sponsor a series of workshops, etc.).
3. Applicants proposing activities in partnership with other international development organizations will not be considered competitive against the Development Education Program strategy to engage new organizations and audiences in learning about development. Those applications that provide the greatest value added in terms of penetration of new domestic audiences and leveraging new resources for development education will be considered most competitive.
4. Letters of commitment from partner organizations must accompany the application and must

indicate clearly the partner's financial or in-kind contribution to the program; partner staff involvement; the specific target audience(s) nationwide; and the strategy to be pursued by the partner in terms of program design, implementation, dissemination and assessment.

5. In selecting a sectoral focus for this required partnership, applicants should develop partnerships with national trade or membership organizations in shared areas of concern, such as: education and human capacity development, environment, agriculture, health, child welfare, women's issues, business, labor, media and international trade. Only those applications proposing partnerships with organizations whose memberships and programs are national in scope are eligible for funding.

Sample partnerships might include:

* A PVO that partners with one or more associations of healthcare professionals, targeting their staff, membership and related networks nationwide for educational activities and educational resources focused on child survival and development.

* A program to educate national audiences about economic development, in which a PVO, cooperative, or other development organization partners with one or more U.S. associations to educate their staff, membership and related networks on the development impacts of credit or small enterprise programs and lessons that may apply in the United States.

6. USAID will not finance applications that:

- include overseas program activities or audiences;
- are dissemination projects for existing materials with no value added in terms of new educational activities and audiences;
- promote the opinion or position of the applicant or the partner organization to the detriment of the educational intent of the activities;
- are designed to lobby elected officials or that present politically partisan views;
- involve religious proselytism;
- ask USAID to underwrite a program already being implemented;
- involve direct fundraising appeals for the applicant or for the partner organization;
- request USAID funds to cover the costs of international travel, although this activity is allowed provided such costs are covered by the applicant or the partner organization as part of its match;
- are research projects (whether theoretical or applied research); or

- have implementation timelines that fail to conform to the September, 1998 - August 1999 project year.

IX. PROGRAM THEME AND CONTENT

Applications must adhere to the overall Development Education Program theme of "global-local links," i.e., they must demonstrate the connections between domestic and international concerns and must communicate effectively why international development assistance is in the U.S. interest. Programs may focus on a broad view of such connections as they affect the country as a whole or may interpret them more narrowly for relevance to the specific interests of targeted audiences.

In either case, the specific issues under discussion (e.g. environment, trade, health, etc.) should be used both to elucidate broader development concepts, and to demonstrate global interdependence.

The development education content presented to stimulate informed discussion about international development issues and their connections to U.S. concerns must be balanced, objective and factual.

Although the methods, materials and strategies employed may vary with particular applicant organizations and their partners, all proposed programs should have the following characteristics:

- program content and activities that are appropriate for the intended U.S. audiences;
- program content that accurately presents the nature of the relationship between the United States and developing countries, (i.e., "global-local links") as well as the relationship of hunger and poverty to U.S. concerns for the environment, security, trade and other global and domestic issues;
- inter- and intra-organizational involvement that maximizes the potential to disseminate program resources nationwide and produces an effect greater than could be achieved by independent action;
- an ability to affect people's critical thinking and decision making and to encourage participation in activities related to international development; and
- a design that supports ongoing organizational activities and builds upon existing strengths.

Acceptable program activities may include, but are not limited to:

- workshops (participatory)
- seminars (lecture/participatory)
- roundtable discussions
- media training and outreach
- fact sheets, instructional guides and educational publications accompanied by discussion activities
- films, videos and other audio-visual materials accompanied by discussion activities

- educational material distributed through new technologies
- interactive experiences
- educational exhibits

Development Education grants will only be awarded to comprehensive educational programs, rather than for the production of materials alone. Applications must clearly describe how U.S. target audiences will be engaged in the design of educational materials to ensure their appropriateness to the knowledge and attitudes of the target audience; must describe specific learning objectives to be achieved by the development education resources and activities proposed; and must include detailed strategies for the dissemination of the educational resources. There should be an emphasis on ongoing evaluation and on revision of program plans to the extent that the evaluation might warrant.

X. PROGRAM REVIEW CRITERIA

Factors associated with program review criteria listed below are provided in Enclosure 2, the FY 1998 Development Education Application Format.

1. Programs will be reviewed for consistency with USAID's overall goals for development education, as well as the specific objectives for the 1998 competition, including:

- the ability to produce educational resources that communicate balanced messages based on substantive, well-researched information about sustainable development or humanitarian assistance;
- effective use of scarce resources for maximum educational impact on U.S. audiences;
- a clear, compelling dissemination strategy for reaching the U.S. target audience(s) of the applicant and partner organization with the educational resources;
- a program design and implementation plan offering active learning opportunities to those in the target audience(s);
- a demonstrated potential for maximum public impact, including use of local, national and organizational media;
- the ability to assess impact in terms of numbers and types of people reached; their increased knowledge and understanding of international development content compared to baseline data; and the activities undertaken by the target audience as a result of increased awareness and understanding;
- innovative program design with the potential for replication or adaptation by other groups.

2. Program applications should present:

- a clear, compelling rationale for the selection of the partner organization, including a description of the partner's (and, if appropriate, of the applicant's) dissemination mechanisms;
- a program description and partner letter that provide clear evidence of the partner organization's commitment to implementation of the applicant's proposal;
- a well defined set of program objectives;
- specific information on program content, i.e., a lucid statement of the sustainable development or humanitarian assistance issue(s) on which the program will focus; the specific learning objectives of each educational resource (i.e., what participants will learn from each workshop, curriculum module, series of discussion activities, etc.); and an explanation of how the issue(s) will engage the target audience in learning about related development or humanitarian assistance issues;
- a strategy for assessing impact on the target audience(s), including such information as numbers of the public reached and knowledge and attitudinal change as a result of the program;
- a budget (See SF 424 included as Enclosure 3) clearly identifying all program costs and indicating which costs will be covered by USAID funds and which by private sources, specifying those private sources that are in kind or in cash, and accompanied by a narrative that justifies the costs as appropriate and necessary for the successful completion of the program. Note that costs must be separated into those assigned to the applicant organization and those for the partner organization, which will be shown as a subgrant for purposes of this Cooperative Agreement;
- applicants must submit with the original of their application, the Self-Certification pertaining to compliance with applicable Federal and USAID accepted policies for personnel, travel and procurement systems. (See Enclosure 5) If the applicant has not yet completed these certifications, a self-certification package may be obtained from Mr. John O'Brien, M/OP/PS/OSS, USAID, Room 1432, SA-14, Washington, DC 20523-1417, 703-875-1101; and
- all required attachments (see list of required attachments on page 6 of the application format).

3. Organizations must possess the performance, technical and managerial capabilities to carry out the proposed program. Therefore, applications must demonstrate clearly:

- an organizational ability to plan, implement and evaluate a development education program as illustrated by documented accomplishments in similar types of educational programs;
- the ability to collaborate effectively with other organizations in carrying out activities;
- the availability of a program team with experience directly related to the proposed activities, including information on the program manager's education qualifications and knowledge of sustainable development and/or humanitarian assistance content, and position descriptions for permanent and consultant staff;
- the capacity for effective control over and accountability for all program funds, property and other assets, including evidence of an adequate accounting system; and
- possession of an IRS statement attesting to the applicant's 501(c) not-for-profit status.

XI. REQUIRED ACTIVITIES

At least one representative of each grantee organization must attend the annual Development Education Workshop, normally held in the fall. Program budgets should thus include the sum of \$750 to cover the costs of travel and conference registration for the annual Development Education Workshop.

XII. APPLICATION REVIEW PROCEDURES AND SCHEDULE

All applications will be evaluated by a Proposal Review Committee for level of compliance with established program guidelines as articulated in this document and as required in the attached 1998 Application Format.

Applications selected for further consideration may be subject to revision based on recommendations from the Proposal Review Committee. Applicants in this category will be advised by Development Education Program staff of issues raised in the review, and will be given not more than two weeks to provide any necessary revisions.

Final awards will be completed within seven to ten months after the application deadline. USAID may conduct a pre-agreement audit in those instances in which the applicant has not previously received a USAID grant or in cases in which USAID determines an updated review of an organization's fiscal and management system is warranted.

XIII. AUTHORITY TO OBLIGATE THE GOVERNMENT

Final awards will be made by the Agreement Officer. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a

fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

If recommended for an award, it is the responsibility of the Agreement Officer to make a responsibility determination regarding your organization. Budget negotiations will be conducted using OMB Cost Principles and other USAID Standards that may apply, entailing a breakdown of each line item, and reduce to writing all understandings between USAID and the Recipient. The Agreement Officer may request from prospective Recipients additional information regarding the budget figures.

XIV. DEADLINE

Proposals must be received by BHR/PVC not later than the close of business on Monday, December 8, 1997. Applications received after this date will not be considered for funding in FY 1998.

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
FY 1998 DEVELOPMENT EDUCATION APPLICATION FORMAT

I. APPLICATION FACE SHEET (Fill out and attach this page to application text.)

1. Name of Applicant Organization, Address

2. Contacts

Executive Contact

(Name) _____

(Title) _____

(Phone) _____

Program Contact

(Name) _____

(Title) _____

(Phone) _____

3. Proposed Budget Summary:

USAID Request

Private Match

Total

4. Program Theme/Title (one sentence):

5. Target Audience(s), including numbers and description of each subgroup:

6. Program Elements (e.g., workshops, curriculum development, regional training of trainers, series of articles and discussion guides, etc.):

7. Name and Address of Partner Organization (including names and titles of executive and program contacts):

II. PROGRAM SUMMARY/ABSTRACT (one page)

8. Executive Summary (narrative description of program). Identify partner organization and present overview of program's purpose, theme, specific development content to be addressed, activities, target audience(s), and intended outcomes.

III. BACKGROUND (two pages - 5 points)

9. Briefly describe general purposes and objectives, program activities, and organizational structure of applicant and partner organization.

10. Describe your past performance in development education and/or public education programming and please identify at least three individuals or organizations (beyond the applicant and partner organizations) that could validate your past performance, with their respective telephone numbers.

11. Describe relationship of proposed program to the two organizations' present and future goals, program activities, and organizational structure. Explain how this proposed development education initiative will strengthen the organizations.

IV. PROGRAM DESCRIPTION (Program Definition & Scope)

12. RATIONALE (two pages - 10 points)

12a. State program theme and specific development content program will address under the broad grants program theme of "local-global links."

12b. How and why were theme and content issues selected? How are applicant and partner organization especially suited to address issues associated with theme?

12c. How will this program contribute to USAID's Development Education Program? (Please see 1998 RFA Guidelines, p. 4, for program goals.)

12d. Describe how your proposed program will contribute to PVC's Strategic Objective and five Intermediate Results as outlined in Part I of the Development Education Guidelines (Enclosure I).

13. TARGET AUDIENCE (one page - 10 points)

13a. Breakout of target audience(s) in terms of primary, secondary, tertiary levels of involvement, and provide estimated numbers for each subgroup.

13b. Provide information on the gender, professional affiliation, geographic location, level of education, age, ethnic background, of each audience group.

13c. Relationship of program content to interests of target audience(s).

13d. Current relationship of applicant and/or partner organization with target audience(s).

14. STRATEGY FOR IMPLEMENTATION (3-4 pages - 25 points)

This section is meant to be a narrative workplan that provides a detailed description of proposed activity.

14a. In an overview section, provide:

- . a description of the development education goals of this program.
- . a description of measurable objectives which will lead to the accomplishment of these development education goals.

14b. Describe the specific educational resources to be produced and/or activities to be carried out (e.g., curriculum, discussion guide, workshop, video, etc.) and the role of the target audience(s) in their design.

14c. Describe the specific development content and learning objectives of each resource or activity (i.e., what participants will learn from each workshop, curriculum module, or series of discussion activities, etc.).

14d. Provide a detailed explanation of the outreach/dissemination strategy for reaching the maximum target audience with these resources, including outreach to organizational, local, and/or national media.

14e. Provide an implementation timeline running from September, 1998 through August, 1999.

15. SUSTAINABILITY (one page - 5 points)

Plans for continuing program activities, e.g. through ongoing dissemination and/or sales of educational resources or collaboration between the applicant and partner in development education beyond term of USAID support, including expected level and sources of support required to perpetuate these activities and the applicant's and partner organization's commitment to acquiring these. If appropriate, include the role the organizations might play in facilitating program replication in other areas or by other groups.

**V. PROJECT MANAGEMENT (one page, plus partner letter of commitment and organizational chart
- 15 points)**

16. Which individuals/departments of **applicant organization** will be responsible for managing program? Describe staff and other personnel resources to be involved and division of responsibilities among various individuals and parts of the organization. (Note: Please supply as Attachment 1 an organizational chart illustrating where the development education project would be located within the organization and statements of duties and qualifications of key program personnel. If a program manager has not yet been selected by your organization, describe candidate selection criteria.)

17. Extent to which **partner organization** will be involved in design, implementation, and evaluation of program, including specific roles and responsibilities. (Attach as Attachment 2 a letter of commitment from partner organization. The letter should indicate clearly partner's proposed financial contribution to project, specific target audience(s) to which the organization has access, and the strategy partner will pursue in terms of collaboration on program design, implementation and assessment. Include letters of endorsement from any other participating groups.

VI. EVALUATION (2 pages - 10 points)

18. Briefly describe the current educational need, interest, and awareness of your audiences with regard to project content and international development, and indicate the source of this baseline information or how it will be acquired.

29. Outline an evaluation plan including both quantitative and qualitative assessment of the proposed program including:

- . a description of the indicators that will be used to assess or measure each aspect of program performance (indicators should parallel program objectives).
- . a summary of the specific methods by which indicators described above are to be assessed, the data sources to be used, and when these assessments will take place.
- . a listing of who in your organization and/or outside will be responsible for this evaluation and an overview of their experience in this area.

(Note: special attention should be paid to pre- and post-assessments of your audience(s) to test need, interest, awareness and impact/effect of program.)

VII. BUDGET Attach SF-424 here. (20 points)

20a. As Attachment 3, prepare SF-424 & 424A. Be sure to include \$750 to permit one project representative to attend USAID's annual Development Education Workshop, a required activity for all grantees. Applicant costs must be shown separately from that of the "partner organization" and should be listed as a separate activity under Section A, (a) Column. The costs pertaining to the "partner organization" will be further broken down in Section B, Column (2).

20b. Attach a budget narrative in the form of a five column annotated budget. The five horizontal column headings should be: USAID Request to Applicant, USAID Request for Partner Subgrant (if appropriate), Applicant Match, Partner and/or other Match, and Total. The vertical lines should describe the entries #6a through #6j on Page 1 of budget form SF424A, and should fully explain the basis for the line item costs so that the Grant Officer can easily verify your costs based on the calculations indicated in the narrative. (Example: 40% of program manager's time at X amount for one year = \$____, or three economy fare flights to LA, Chicago, Boston at X amount each.) This will obviate the need to request budget clarification from you later, which delays processing of awards. Your narrative of the budget need not cover each individual component of each line item. It may cover groups of items as appropriate.

The committee will closely review the appropriateness of estimated costs, including valuation of in-kind contributions to the project, e.g., specify value of donated air time and production costs of local cable TV broadcast.

REQUIRED ATTACHMENTS

ATTACHMENT 1: Organizational chart which identifies placement of development education function and qualification statements (see question #16)

ATTACHMENT 2: Letter of commitment from partner organization and any other letters of endorsement (see question #17)

ATTACHMENT 3: Project budget and budget narrative (SF 424)

ATTACHMENT 4: Completed and signed Certifications and Representations.

ATTACHMENT 5: A signed Certificate of Compliance regarding Federal and USAID regulations.

ATTACHMENT 6: Publications (i.e., newsletters, brochures, resource materials, etc.) produced in the recent past which would indicate the international development and/or educational thrust of applicant and/or partner organization.

ATTACHMENT 7: A 3.5 inch computer diskette in WordPerfect 5.2 containing your full application.

Note: Other attachments documenting the financial and managerial viability of an organization may be requested of those applicants recommended for funding, i.e., annual report, financial report.

Enclosure 3 - Budget

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | |
|-------|--|---|
| | | requested with this application. |
| 1. | Self-explanatory. | 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. |
| 3. | State use only (if applicable). | 12. List only the largest political entities affected (e.g., State, counties, cities). |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 13. Self-explanatory. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | 14. List the applicant's Congressional District and any District(s) affected by the program or project. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 7. | Enter the appropriate letter in the space provided. | |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.

- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | |

SF 424 Back (Rev. 4-92)

- | Item: | Entry: |
|-------|---|
| 9. | Name of Federal agency from which assistance is being |

INSTRUCTIONS FOR THE SF 424 (continued)

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Column (a)

For applications pertaining to a *single* Federal grant program and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the federal funds requested by the applicant and on Line 2 under Column (a) the federal funds requested for the Partner Subgrantee (if appropriate).

Lines 1-4, Columns (b) through (d)

For new applications. **For each line entry** in Column (a) , enter in Column (b) the total request for Federal funds, enter in Column (c) the non-federal match, and in Column (d) the totals for (b) and (c).

Line 5 - Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) Applicant and (2) Partner Subgrantee (if appropriate), fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (3), Line 6k, should be the same as the total amount shown in Section A, Column (d), Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program title (already inserted). A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

INSTRUCTIONS FOR THE SF 424A (continued)

N/A - Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (d) Section A (your total program budget).

Section D. Forecasted Cash Needs (Not Applicable for the Development Education Program)

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project (Not Applicable for the Development Education Program)

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

Enclosure 4 -Certifications and Representations

U.S. Agency for International Development

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE^{1 2}

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of

such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS³

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.⁴ You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"⁵ provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities,"⁶ in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. AGREEMENT ON GRANT TERMS AND CONDITIONS

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Grantee _____

Typed Name and Title _____

Signature _____ Date _____

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

1/ See Chapter 3 of USAID Handbook 13, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see Appendix 4D of USAID Handbook 13).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal_____

Name of Applicant/Subgrantee_____

Typed Name and Title_____

Signature_____ Date_____

LETTERHEAD

Date

(RECIPIENT CERTIFICATE OF COMPLIANCE)

To: Mr. Steve Tashjian
Contracting Officer
M/OP/PS/OCC

I, (Name Printed or Typed), (Title), as a legally authorized representative of (Organization Name) do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible action ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Type or Print Name

Position Title

Date of Execution

Standard Form 424-Enclosure 3 (for Development Education)

APPLICATION FOR FEDERAL ASSISTANCE

APPLICATION FOR FEDERAL ASSISTANCE				2. DATE SUBMITTED		Applicant Identifier N/A		
1. TYPE OF SUBMISSION:				3. DATE RECEIVED BY STATE		State Application Identifier		
Application _____ Construction		Preapplication _____ Construction		N/A		N/A		
<input checked="" type="checkbox"/> Non-Construction		<input type="checkbox"/> Non-Construction		4. DATE RECVD BY FEDERAL AGENCY		Federal Identifier N/A		
5. APPLICATION INFORMATION								
Legal Name:				Organizational Unit				
Address (give only county, state, and zip code):				Name and telephone number of person to be contacted on matters involving this application (give area code)				
6. EMPLOYER IDENTIFICATION NUMBER (EIN):				7. TYPE OF APPLICATION: (enter appropriate letter in box) <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>M</td></tr></table>				M
M								
8. TYPE OF APPLICATION <input checked="" type="checkbox"/> New _____ Continuation _____ Revision If Revision, enter appropriate letter(s) in box(es) <table border="1" style="display: inline-table; vertical-align: middle; width: 50px; height: 20px;"></table> A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify): C. Increase Duration				A. State H. Independent School Dist B. County I. State Controlled Institution of Higher Learning C. Municipal J. Indian Tribe D. Township K. Individual E. Interstate L. Profit Organization F. Intermunicipal M. Other (specify) G. Special Dist.				
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE:				9. NAME OF FEDERAL AGENCY				
12. AREAS AFFECTED (Cities, Counties, States, etc.): (in United States)				11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:				
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:						
START DATE September 1, 1998	END DATE August 31, 1999	a. Applicant N/A		b. Project N/A				
15. ESTIMATED FUNDING:				16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?				
a. Federal	\$			a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON: DATE B. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input checked="" type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW				
b. Applicant	\$							
c. State	\$ N/A							
d. Local	\$ N/A							
e. Other	\$							
f. Program Income	\$							
g. TOTAL	\$							
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? _____ Yes If "Yes", attach an explanation _____ No								
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/ PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.								
a. Type Name of Authorized Representative				b. Title		c. Telephone Number		
d. Signature of Authorized Representative						e. Date Signed		

Previous Edition usable
Authorized for Local Representative

Standard Form 424 (REV 4-92)
Prescribed by OMB Circular A-102

	USAID/ BHR/PVC Development Education Program		
			8/27/97
Budget Information - Non-Construction Programs			
SECTION A - BUDGET SUMMARY			
Grant Program	New or Revised Budget		
Function			
or Activity	Federal Request	Non-Federal Match	Total
{a}	{b}	{c}	{d}
1. (Applicant)	\$	\$	\$
2. (Partner subgrantee)			
3.			
4.			
5. TOTALS	\$	\$	\$
SECTION B - BUDGET CATEGORIES			
	Grant Program, Function or Activity		Total
6. Object Class Categories	{1} Applicant	{2} Partner subgrantee	{3}
a. Personnel			\$
b. Fringe Benefits			
c. Travel			
d. Equipment			
e. Supplies			
f. Contractual Services			
g. Training			
h. Other			
i. Total Direct Charges (sum of 6a6h)			
j. Indirect Charges			
k. TOTALS (sum of 6i and 6j)			\$
7. Program Income	\$	\$	\$
			(9-96) Page 1

		Budget Information - Non-Construction Programs (continued)				
SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program			(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Development Education Program			\$	NA	\$	\$
9. NA			NA	NA	NA	NA
10. NA			NA	NA	NA	NA
11. NA			NA	NA	NA	NA
12. TOTAL (sum of lines 8- 11)			\$	NA	\$	\$
SECTION D - FORECASTED CASH NEEDS						
		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal		NA	NA	NA	NA	NA
14. Non-federal		NA	NA	NA	NA	NA
15. TOTAL (sum of lines 13 and 14)		NA	NA	NA	NA	NA
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR LIFE OF THE PROJECT						
(a) Grant Program	Future Funding Periods (Years)					
	(b) First	(c) Second	(d) Third	(e) Fourth	(f) Fifth	(g) TOTALS
16. Development Education	\$	NA	NA	NA	NA	\$
17. NA	NA	NA	NA	NA	NA	NA
18. NA	NA	NA	NA	NA	NA	NA
19. NA	NA	NA	NA	NA	NA	NA
20. TOTAL (sum lns 16 - 19)	\$	\$	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:			22. Indirect Charges:			
23. Remarks:						

FOOTNOTES TO CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE - ENCLOSURE 4

1. FORMATS\GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11)

2. When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

3. The applicant/grantee must obtain from each identified grantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment Ineligibility and Voluntary Exclusion Lower Tier Transactions, set forth in Attachment A hereto. The applicant/grantee should reproduce additional copies as necessary.

4. See Chapter 3 of USAID Handbook 13, 22FR 208.

5. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Suspension, and Related Matters" if the applicant/grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. nongovernmental organization.

6. See Attachment B.